

BIA PHASE 1 – SUMMARY

BACKGROUND AND SUMMARIZED RESULTS

Summary Overview

Background



Continuity capabilities currently exist within Pinal County but are primary based on institutional knowledge of critical processes, activities and systems. A comprehensive business continuity and resiliency program has not been developed to ensure operational disruptions are limited, alignment with regulatory requirements and data protection capabilities are effectively prioritized and controlled. Additionally, Internal Audit has performed several assessments/audits that have highlighted the need to better understand the impact to Pinal County operations and services during a business interruption. To better understand continuity weaknesses and improve Pinal County's continuity and resiliency capabilities, a multi-phase business impact analysis (BIA) was proposed: Phase 1: Discovery and BIA Program Foundations, Phase 2: BIA, Phase 3: Strategy Alignment and Phase 4: Roadmap.

Internal Audit completed Phase 1 (Discovery and BIA Program Foundations), allowing the County to fully understand the functions that exists within each department and the prioritization. Function prioritization served as a steppingstone for Phases 2 (Detailed BIA), 3 (Strategy Alignment) and 4 (Roadmap) of the project.

Summarized Results



Internal Audit conducted working sessions with key stakeholders within each department (33) at Pinal County to understand the total number of functions (294) and the corresponding services. With this data, Internal Audit developed a Department Classification Scheme (DCS) of the Pinal County environment. Each function was assessed and assigned a tiering (Tier 1 being the most critical and Tier 3 being the least) using the customized Pinal County Impact Ranking Criteria. This ranking allowed Internal Audit to determine the overall criticality of the functions within the organization. In summary, there were 111 (38%) Tier 1, 81 (27%) Tier 2 and 102 (35%) Tier 3 functions. Internal Audit recommends Pinal County perform detailed BIA's for the most critical functions (Tier 1) to understand current recovery capabilities, key inputs/outputs, detailed impacts of an outage and dependencies (resources, technical, etc.).

PHASES 2, 3 & 4 – RECOMMENDED APPROACH OVERVIEW

